

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In Re the Application of:

CHUNLIN LIANG, ET AL.

Application No.: 09/517,703 *S-A13*

Filed: March 2, 2000

For: **Method for Making A Complementary Metal Gate Electrode Technology (Amended)**

Art Group: 2811

Examiner: Not yet assigned

TC 2811 MAIL ROOM  
JAN 26 2001

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JAN 30 2001  
3700 MAIL ROOM

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to Rule 1.97, Applicant desires to make of record the reference(s) set forth on the attached Form PTO 1449. A copy of each reference is submitted herewith.

It is hereby stated that this Information Disclosure Statement is being filed prior to the issuance of the initial office Action, therefore no petition or fee is required. However, in the event a petition is needed for consideration of this Information Disclosure Statement, Applicant hereby so petitions. Please charge any additional fee due to Deposit Account 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP

*William T. Babbitt*

William Thomas Babbitt, Reg. No. 39,591

Date: 1/5/0112400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
Telephone: (310) 207-3800

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: January 5, 2001

*Nedy Calderon*  
Nedy Calderon1/5/01  
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3700 MAIL ROOM  
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0.30 3700

GAU 2811

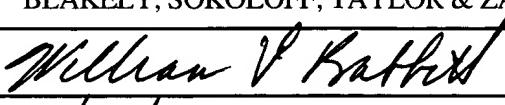
PTO/SB/21(08/00)

Approved for use through 19/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence other than initial filing)</i>		Application Number	09/517,703
		Filing Date	March 2, 2000
		First Named Inventor	Chunlin Liang
		Group Art Unit	2811
		Examiner Name	Not yet assigned
Total Number of Pages in This Submission	23	Attorney Docket Number	42390P5771D

ENCLOSURES (check all that apply)			
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <div style="border: 1px solid black; padding: 5px; width: fit-content;">           Supplemental Preliminary Amendment;            Copies of 14 cited references         </div>	
			<input type="checkbox"/> After Allowance Communication to Group
			<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
			<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
			<input type="checkbox"/> Proprietary Information
			<input type="checkbox"/> Status Letter
			<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; width: fit-content;">           Supplemental Preliminary Amendment;            Copies of 14 cited references         </div>
			<input type="checkbox"/> After Allowance Communication to Group
			<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
			<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Proprietary Information			
<input type="checkbox"/> Status Letter			
<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; width: fit-content;">           Supplemental Preliminary Amendment;            Copies of 14 cited references         </div>			
Remarks			

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	William Thomas Babbitt, Reg. No. 39,591 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
Signature	
Date	1/5/01

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <u>January 5, 2001</u>			
Typed or printed name	Nedy Calderon		
Signature	Nedy Calderon	Date	1/5/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMISSION  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 0.00)

**Complete If Known**

Application Number	09/517,703
Filing Date	03/02/00
First Named Inventor	Chunlin Liang, et al.
Examiner Name	Not yet assigned
Group Art Unit	2811
Attorney Docket Number	42390P5771D

**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee Required Under 37CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:  
 Check  Money Order  Other

**FEE CALCULATION****1. FILING FEE**

## Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355 Utility filing fee
106	320	206	160 Design filing fee
107	490	207	245 Plant filing fee
108	710	208	355 Reissue filing fee
114	150	214	75 Provisional filing fee

**SUBTOTAL (1) (\$)****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
2	20**	0 X 18.00	\$0.00
1	3**	0 X 80.00	\$0.00

Multiple Dependent Claims =

## Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple Dependent claim
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)**

\*or number previously paid, if greater. For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	TC 3700 MAIL ROOM
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	JAN 30 2001
139	130	139 130 Non-English specification	RECEIVED
147	2,520	147 2,520 For filing a request for ex parte reexamination	TC 2800 MAIL ROOM
112	920	112 920* Requesting publication of SIR prior to Examiner action	JAN 17 2001
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	RECEIVED
115	110	215 55 Extension for response within first month	TC 2800 MAIL ROOM
116	390	216 195 Extension for response within second month	JAN 17 2001
117	890	217 445 Extension for response within third month	RECEIVED
118	1,390	218 695 Extension for response within fourth month	TC 2800 MAIL ROOM
128	1,890	228 945 Extension for response within fifth month	JAN 17 2001
119	310	219 155 Notice of Appeal	RECEIVED
120	310	220 155 Filing a brief in support of an appeal	TC 2800 MAIL ROOM
121	270	221 135 Request for oral hearing	JAN 17 2001
138	1,510	138 1,510 Petition to institute a public use proceeding	RECEIVED
140	110	240 55 Petition to revive - unavoidably	TC 2800 MAIL ROOM
141	1,240	241 620 Petition to revive - unintentionally	JAN 17 2001
142	1,240	242 620 Utility issue fee (or reissue)	RECEIVED
143	440	243 220 Design issue fee	TC 2800 MAIL ROOM
144	600	244 300 Plant issue fee	JAN 17 2001
122	130	122 130 Petitions to the Commissioner	RECEIVED
123	50	123 50 Petitions related to provisional applications	TC 2800 MAIL ROOM
126	180	126 180 Submission of Information Disclosure Stmt	JAN 17 2001
581	40	581 40 Recording each patent assignment per property (times number of properties)	RECEIVED
146	710	246 355 Filing a submission after final rejection (37 CFR 1.129(a))	TC 2800 MAIL ROOM
149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))	JAN 17 2001
179	710	279 355 Request for Continued Examination (RCE)	RECEIVED
169	900	169 900 Request for expedited examination of a design application	TC 2800 MAIL ROOM

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY****Complete (if applicable)**

Typed or Printed Name	William Thomas Babbitt, Reg. No. 39,591			Reg. Number
Signature	<i>William T. Babbitt</i>	Date	1/5/01	Deposit Account User ID 02-2666

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



Form PTO-1449 (Modified)		Atty Docket No. 42390P5771D	Application No. 09/517,703
<i>List of Patents &amp; Publications Statement</i>		Applicant(s): Chunlin Liang, et al.	
(Use several sheets if necessary)		Filing Date: March 02, 2000	Group No.: 2811

#### U.S. PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	AA	5,705,411	01/06/1998	Yamanobe et al.			
	AB	5,796,166	08/18/1998	Agnello et al.			
	AC	5,834,353	10/20/1997	W u			
	AD	5,559,351	09/24/1996	Takiyama			
	AE	3,936,860	02/03/1976	Hill			
	AF	4,555,842	12/03/1985	Levinstein et al.			
	AG	5,973,363	10/26/1999	Staab et al.			
	AH	5,945,821	08/31/1999	Sakurai et al.			
	AI						
	AJ						
	AK						

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TO 3700 MAIL ROOM

#### FOREIGN PATENT DOCUMENTS

Exam. Initials		Document Number	Date	Country	Class	Sub-class	Translation Yes No
	AL	3-3227562	03/10/1991	Japan			
	AM	62-245658	26/10/1987	Japan			
	AN	62-126671	08/06/1987	Japan			
	AO	57-114281	16/07/1982	Japan			
	AP	52-014383	03/02/1977	Japan			
	AQ	60-045053	11/03/1985	Japan			

#### OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

Exam. Initials		Document Identification	RECEIVED JAN 17 2001 TO 2800 MAIL ROOM
	AR		
	AS		
	AT		

Examiner: \_\_\_\_\_ Date Considered: \_\_\_\_\_

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication